



QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT

Form Title : FEn-TNI-001
Revision No. : 3
Effective Date : 01.02.2017
Page : 1 of 6

Questionnaire to prepare for a Certification Audit for Energy Management System (EnMS)

1 Purpose

With the help of this questionnaire you can provide a detailed description of your company.

The questionnaire will be used by the certification body to establish whether the prerequisites of a certification audit have been fulfilled. It is either filled in by the company and/or completed by the auditors during the stage 1 audit.

1.1 Company Data

Please enclose company brochure.

Company _____

Address _____

Contact Person _____

QM Representative _____

Telephone _____ Extension _____

Fax _____ Email _____

1.2 Company Structure

Legal Form _____

Multi sites certification? _____

List or name of sites: _____

Industrial Sector _____

Main Products/Services _____

Main Raw Materials and purchased Parts used or processed:

Manufacturing Process(es): _____

Shift Operation? _____

Turnover last Year: _____ Percentage Exports last Year: _____

Memberships in Industrial Associations: _____

▪ an organisational chart of the entire company or the organisational units to be audited has been attached yes no

▪ Have you received consultancy services? yes no

If **yes**, by whom? _____

▪ Is the Energy Management System integrated in an existing management system?

If **yes**, in which? _____

Is there a separate manual for the Energy Management System

an integrated management manual for all systems (QMS, EMS, EnMS)?

▪ Is there a group wide manual? yes no not applicable

▪ Have the manuals of the subsidiaries been derived from the group manual?

yes no not applicable

▪ What type of audit are you interested in?

a certification audit according to ISO 50001 : 2011

a certification audit of an integrated management system (QMS, EMS, EnMS)

not yet decided

▪ What kind of certification are you interested in?

Single-site certification, please fill in Annex 1 as well

Multi-site certification, please fill in Annex 2 as well

▪ *Is there a process production subcontracted / outsourced ?*

yes no

If yes, _____

Which organisational units are to be certified?

Organisational Unit

- Entire company including all locations and branches
- Entire company except the following organisational units/locations/branches
- Only the following organisational unit(s):

For how long has the EnMS been practised?
Please state your requirements for the certification date?

- Do you request a pre-audit? yes no

- *Please submit the documents listed below are already on hand :*

Document Type	Remarks (e.g. document title, revision etc..)
Management review report	
Internal audit report	
Energy policy	
Energy objectives	
Energy planning	
Energy Review	
Energy objectives, energy targets and energy management action plans	
EnM manual	

2 GENERAL QUESTIONS

Please answer the following questions before the commencement of the certification audit. The questions serve as a guideline for the successful preparation of the audit. You may add any remarks to the questions as you see fit.

Please **submit additional documents to those questions marked either by ► or which are written in *italics***. If not already enclosed with the attachments, please also submit a current organisation chart and an overview over the most important processes in your company.

The successful evaluation of this questionnaire is a pre-requisite for the certification assessment in your company.

- *Have the EnM policy been defined and documented?*

Yes no partially

- Have the authorities and responsibilities within your organisation been defined and documented?

Yes no partially

- Has internal communication between the different functions of your organisation been defined, documented and established?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

➤ *Has the management system been defined in a manual according to clause 4.1 of ISO 50001:2011?*

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

➤ *Is the control of documents and data described in a procedure?*

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

➤ *Is the control of quality records described in a procedure?*

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Has a management review been conducted, and have the resulting tasks been implemented?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have training needs been determined? Have the required training measures been implemented and reviewed for effectiveness?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization conducted and documented an energy planning process?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization identified, implemented and had access to the applicable legal requirements other requirements to which the organization subscribes related to its energy use, consumption and efficiency?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization documented the methodology and criteria used to develop the energy review?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization documented and updated the action plans at defined intervals?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization identified and planned those operations and maintenance activities which are related to its significant energy uses and that are consistent with its energy policy, objectives, targets and action plans?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization considered energy performance improvement opportunities and operational control in the design of new, modified, and renovated facilities, equipment, systems and processes that can have a significant impact on its energy performance?**

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
-----	--------------------------	----	--------------------------	-----------	--------------------------

■ **Have the organization defined and documented energy purchasing specifications, as applicable, for effective energy use?**

	yes <input type="checkbox"/>	no <input type="checkbox"/>	partially <input type="checkbox"/>
➤ <i>Are internal audits described in a procedure?</i>	yes <input type="checkbox"/>	no <input type="checkbox"/>	partially <input type="checkbox"/>
➤ <i>Is the control of non-conforming product described in a procedure?</i>	yes <input type="checkbox"/>	no <input type="checkbox"/>	partially <input type="checkbox"/>
■ <i>Are there monitoring and measurement of the key characteristics?</i>	yes <input type="checkbox"/>	no <input type="checkbox"/>	partially <input type="checkbox"/>
➤ <i>Are corrective actions described in a procedure?</i>	yes <input type="checkbox"/>	no <input type="checkbox"/>	partially <input type="checkbox"/>
➤ <i>Are preventive actions described in a procedure?</i>	yes <input type="checkbox"/>	no <input type="checkbox"/>	partially <input type="checkbox"/>

Please filled in the questions in Annex 1 for single site certification or Annex 2 for multi-site certification and attach all documents required in the section 2 (General Question)

Signed by:

Place/Date

Stamp/Signature

Evaluation by the Certification Body

1. Company details complete?

yes no Remarks / additionally required information:

2. Attached documents complete?

yes no Remarks / additionally required information:

3. Implementation and application of the management system sufficient?

(Based on the results of the details given in the annex)

yes no Remarks / additionally required information:

4. In case of multisite certification

Number of sample site need to be audited: _____ sites

5. Application Client

Approved

Not Approved

Note: _____

Jakarta, _____

Place / Date

Head of CB/Auditor Signature